

**CALIFORNIA DEPARTMENT OF CORRECTIONS AND REHABILITATION
OFFICE OF AUDITS AND COURT COMPLIANCE**

JOB DESCRIPTION

Classification: Associate Management Auditor
Position No.: 065-346-4159-VAR
Tenure/Timebase: Full time, Permanent
Location: Sacramento
Branch: Audits and Operational Data Branch
Section: Audits Section
Prepared Date: January 2022

Approved By:

ANNE MARIE NIELSEN
Supervising Management Auditor

Reporting Relationships:

Reports to: Staff Management Auditor

Supervisory Responsibilities: None

FUNCTION:

This is the first full journey person level of the Management Auditor Series. Under the direction and supervision of the Staff Management Auditor, the Associate Management Auditor will independently perform the more responsible, varied and complex audits, while monitoring and providing consultation and advice to management. The California Department of Corrections and Rehabilitation's (CDCR) Office of Audits and Court Compliance (OACC) is responsible for reviewing the operations at adult institutions/juvenile facilities, parole regions, community correctional facilities, contract providers, and headquarters, to evaluate compliance with departmental standards and state and federal laws, including court mandates. Program, fiscal, compliance, and other special reviews are performed on CDCR's operations and CDCR's contractors. Audits are generally performed in the field with a team and are in accordance with the International Standards for the Professional Practice of Internal Auditing or Generally Accepted Government Auditing Standards. The Associate Management Auditor may be assigned as lead over an audit team.

PROGRAM IDENTIFICATION:

OACC's mission is to help CDCR achieve its goals through an objective systematic, disciplined and collaborative approach to evaluate and improve the effectiveness of risk management, promote efficient and effective management of departmental resources, and monitor compliance with court-ordered remedial plans. OACC accomplishes this by identifying departmental risks; analyzing data; and performing audits and reviews. OACC communicates the results through accurate, objective, and timely reports; corrective action plan requests; and follow-up monitoring updates.

ESSENTIAL DUTIES AND RESPONSIBILITIES INCLUDE, BUT ARE NOT LIMITED TO, THE FOLLOWING:

(Candidates must be able to perform the following with or without reasonable accommodations.)

This position may require up to 30% travel statewide, as well as overnight travel for up to a week at a time.

- 35% Conduct various types of field audits, perform follow-up audits, and assist in special projects/audits. The audits consist of preliminary planning work; participating in entrance and exit conferences; interviewing staff; performing research; preparing working papers; analyzing, evaluating and preparing recommendations; and evaluating corrective action plans. The incumbent may be assigned as the Auditor-in-Charge. The incumbent performs the more complex field audits and assists in providing formal and informal training to new staff.
- 30% Prepare formal written reports that identify audit findings, recommendations, corrective action plans, and auditors' comments. Ensure that audit work is properly supported and sufficient to draw sound conclusions and make recommendations. The written reports are distributed to the Department's executive management, program staff, contractors, and/or other government agencies. Participates in Administrative Review Committee (ARC) proceedings, including following up on ARC requests for additional information.
- 25% Conduct various types of audit desk reviews. These reviews consist of monitoring, reviewing, auditing, evaluating, and producing findings from the review of financial statements, cost reports, and overhead cost allocation plans of counties, contractors, and/or other entities that provide services for the CDCR.
- 10% Provides technical assistance to all levels of departmental staff throughout the department. Participate in training as required by Generally Accepted Government Auditing Standards.

NON-ESSENTIAL DUTIES AND RESPONSIBILITIES INCLUDE, BUT ARE NOT LIMITED TO, THE FOLLOWING: Other duties may be assigned based on operational needs of the unit.

SPECIAL REQUIREMENTS:

This position requires the incumbent to exercise good judgment; be professional, flexible, and diplomatic; and adhere to departmental policies and procedures regarding attendance, leave, and conduct. The Associate Management Auditor must work cooperatively and professionally with internal and external stakeholders; work efficiently and effectively in a team environment; and effectively communicate (written/verbal/listening) with staff and other stakeholders.

PHYSICAL REQUIREMENTS:

Requires prolonged sitting; and the ability to operate standard office equipment such as, but not limited to, a personal computer (desktop or laptop) and document systems (copier, facsimile, scanner). Must be able to lift up to 25 pounds including personal overnight luggage, office issued laptop, and audit materials.

ATTENDANCE:

Must maintain consistent and regular attendance.

By signing this document I acknowledge that I have read and understand all the requirements and information above and will receive a copy of this job description.

Print Employee's Name	Employee's Signature*	Date

Supervisor's Statement: I have discussed the duties of the position with the employee.

Print Supervisor's Name	Supervisor's Signature	Date

***Duties of this position are subject to change and may be revised as needed or required.**

CALIFORNIA DEPARTMENT OF CORRECTIONS AND REHABILITATION
OFFICE OF AUDITS AND COURT COMPLIANCE
JOB DESCRIPTION

Classification: Staff Services Management Auditor
Position No.: 065-346-5841-VAR
Tenure/Timebase: Full time, Permanent
Location: Sacramento
Branch: Audits and Operational Data Branch
Section: Audits Section
Prepared Date: January 2022

Approved By: _____
ANNE MARIE NIELSEN
Supervising Management Auditor

Reporting Relationships:
Reports to: Staff Management Auditor

Supervisory Responsibilities: None

FUNCTION:

This is a recruiting, training, and development class for persons qualified to learn management auditing methods under supervision. Under the supervision of the Staff Management Auditor, the incumbent will assist Associate Management Auditors in the more complex audits and will perform less complex audits assigned by California Department of Corrections and Rehabilitation (CDCR) audit management. The Office of Audits and Court Compliance (OACC) is responsible for reviewing the operations at adult institutions/juvenile facilities, parole regions, community correctional facilities, contract providers, and headquarters, to evaluate compliance with departmental standards and state and federal laws, including court mandates. Program, fiscal, and compliance audits are performed on CDCR's operations and CDCR's contractors. Audits are generally performed in the field with a team and are in accordance with the International Standards for the Professional Practice of Internal Auditing or Generally Accepted Government Auditing Standards.

The results of the audits will determine the level of compliance with contracts, state laws, rules, regulations, policies, and procedures that govern the department and/or the entities being audited.

PROGRAM IDENTIFICATION:

OACC's mission is to help CDCR achieve its goals through an objective systematic, disciplined and collaborative approach to evaluate and improve the effectiveness of risk management, promote efficient and effective management of departmental resources, and monitor compliance with court-ordered remedial plans. OACC accomplishes this by identifying departmental risks; analyzing data; and performing audits and reviews. OACC communicates the results through accurate, objective, and timely reports; corrective action plan requests; and follow-up monitoring updates.

ESSENTIAL DUTIES AND RESPONSIBILITIES INCLUDE, BUT ARE NOT LIMITED TO, THE FOLLOWING:

(Candidates must be able to perform the following with or without reasonable accommodations.)

This position may require up to 30% travel statewide, as well as overnight travel for up to a week at a time.

- 35% Conduct and/or assist in various types of field audits, perform follow-up audits, and assist in special projects/audits. The audits consist of preliminary preparation, an entrance and exit conference, interviewing staff, performing audit tests, analyzing data, preparing working papers, evaluating audit evidence, making recommendations, and evaluating corrective action plans. The incumbent will perform less complex field audits and provide investigative support as necessary. Perform desk reviews of cost reports, financial statements and/or cost allocation plans submitted by contractors, counties, and other entities providing services for CDCR.
- 30% Prepare formal written reports that identifies audit findings, offers recommendations, evaluates corrective action plans, and provides the auditors' comments. Ensure that audit work is properly supported and sufficient to draw sound conclusions and make recommendations. The written reports are distributed to the contractors, Department's executive management, program staff, and other government agencies. Participates in Administrative Review Committee (ARC) proceedings, including following up on ARC requests for additional information.
- 25% Conduct various types of audit desk reviews. These reviews consist of monitoring, reviewing, auditing, evaluating, and producing findings from the review of financial statements, cost reports, and overhead cost allocation plans of counties, contractors, and/or other entities that provide services for the CDCR.
- 10% Provides technical assistance to all levels of departmental staff throughout the department. Participate in training as required by Generally Accepted Government Auditing Standards.

NON-ESSENTIAL DUTIES AND RESPONSIBILITIES INCLUDE, BUT ARE NOT LIMITED TO, THE FOLLOWING: Other duties may be assigned based on operational needs of the unit.

SPECIAL REQUIREMENTS:

This position requires the incumbent to exercise good judgment; be professional, flexible, and diplomatic; and adhere to departmental policies and procedures regarding attendance, leave, and conduct. The Staff Services Management Auditor must work cooperatively and professionally with internal and external stakeholders; work efficiently and effectively in a team environment; and effectively communicate (written/verbal/listening) with staff and other stakeholders.

PHYSICAL REQUIREMENTS:

Requires prolonged sitting; and the ability to operate standard office equipment such as, but not limited to, a personal computer (desktop or laptop) and document systems (copier, facsimile, scanner). Must be able to lift up to 25 pounds including personal overnight luggage, office issued laptop, and audit materials.

ATTENDANCE:

Must maintain consistent and regular attendance.

By signing this document I acknowledge that I have read and understand all the requirements and information above and will receive a copy of this job description.

Print Employee's Name	Employee's Signature*	Date

Supervisor's Statement: I have discussed the duties of the position with the employee.

Print Supervisor's Name	Supervisor's Signature	Date

*Duties of this position are subject to change and may be revised as needed or required.